Job Analysis and Examination Processes Audit Report

Department of Mental Health

STATE
PERSONNEL
BOARD

CALIFORNIA

Project Conducted by:
Test Validation and Construction Program
California State Personnel Board
August 2011

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Department of Mental Health

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California State Personnel Board
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INTRODUCTION

Pursuant to Article VII Section I (b) of the California Constitution, State civil service appointments and promotions are to be made under a "general system based on merit ascertained by competitive examinations." The State Personnel Board (SPB) is charged with oversight of the State civil service employment system including the examination and hiring processes. The oversight function includes the responsibility to audit departmental examination processes when cause is found to believe that a department has not administered their examinations in accordance with the applicable laws, rules, policies and procedures.

The State Personnel Board's (SPB) Appeals Division received multiple appeals regarding the Fire Fighter examination processes conducted by the Department of Mental Health (DMH) and a complaint regarding exam confidentiality for the Fire Captain examination. In response, the SPB's Merit Operations Division (MOD) conducted a thorough review of the job analysis and exam materials for these processes. This review revealed several deviations from accepted professional standards and legal requirements for the development and validation of these and other examinations administered within the State of California civil service. The SPB MOD is recommending to revoke testing delegation from the Coalinga Human Resources satellite office. DMH headquarters will assume responsibility for all testing processes during this probationary period. SPB MOD will conduct random audits and provide oversight to DMH until full compliance with SPB laws, rules and regulations are met.

On April 2011 the SPB began conducting an audit of DMH's job analyses and examination processes at both Department of Mental Health Coalinga and Headquarters locations to ensure adherence to the rules and regulations of the SPB, statutory authority for civil service examinations, and the guidelines set forth in Government Code Section 19052 (See Appendix A: Government Code, Sections 19052, 18930, & 18934; See Appendix B: List of Job Analysis and Exam Projects Audited).

The audit results have been compiled into the present report and organized into the following categories: Job Analysis, Exam Development, and Exam Processing and Administration.

JOB ANALYSIS

California state law requires that all civil service examinations be job-related (See Government Code § 18930 in Appendix A: Government Codes, Sections 19052, 18930, & 18934). In order to meet this requirement, all California State departments have been mandated by the SPB Rule 50 (See Appendix C: SPB Rule 50 & 250) to conduct a job analysis for each classification in order to ensure the establishment of associated job-related and content-valid selection procedures.

The federal *Uniform Guidelines on Employee Selection Procedures* (See Appendix D: SPB Summary of Uniform Guidelines) specify that a selection procedure can be supported by a content valid strategy to the extent that it is a representative sample of the content of the job. This is demonstrated through the establishment of a clear relationship between the selection procedure and the requirements for successful job performance in the classification the procedure is used.

Violations

Job Analysis Information/Report (Uniform Guidelines 15C 3, SPB Rule 50 – Merit Selection Manual Section 2200, SPB Rule 250)**.**

Pursuant to SPB Rule 50, a job analysis must be performed before any examination is administered for a classification. Evidence of this process should be documented to provide a justification for testing specific knowledge, skills, abilities, and personal characteristics (KSAPCs). All job analyses should be current prior to every exam administration.

The following project files did not include job analysis information or supporting documentation:

- Clinical Social Worker (Continuous)
- Cook Specialist I (Exam Date: November 2009)
- Automotive Equipment Operator I (Exam Date: November 2009)
- Chief Physician and Surgeon (Exam Date: July 2009)
- Catholic Chaplin (Continuous)
- Psychiatric Technician (Safety; Exam Date: February 2009)
- Materials and Stores Supervisor (Exam Date: February 2011)

To comply with State and SPB regulations and guidelines, the MOD recommends the following correction to DMH practices:

> ➢ Job analysis information should be collected and properly documented for each exam that is administered.

Job Analysis Methods (Uniform Guidelines 15C 3, SPB Rule 50 – Merit Selection Manual Section 2200, SPB Rule 250)**.**

The job analysis methodology should be documented to demonstrate the steps used in the job analysis process. Reported methods should describe: subject-matter-expert (SME) involvement, how information was gathered, how tasks and KSAPCs were developed, reviewed, and approved, survey methods, and task/KSAPC linking methods.

The process of collecting and reviewing job analysis data was not included in several project files. As a result, SPB was unable to determine whether job analysis procedures were properly followed.

The following audited project files did not include job analysis study methodology information or supporting documentation:

- Fire Fighter (JA Date: October 2008)
- Fire Chief (JA Date: December 2010)
- Clinical Social Worker (Continuous)
- Supervising Rehabilitation Therapist (JA Dates: November 2007, January 2010)
- Barbershop Manager (JA Date: February 2010)
- Correctional Case Records Analyst (JA Dates: August 2006, November 2009)
- Chief Engineer (JA Date: December 2007)
- Fire Chief (JA Date: December 2010)
- Chief, Central Program Services (JA Date: January 2009)
- Patient Benefit Insurance Officer I (JA Date: February 2007)
- Hospital Police Sergeant (JA Date: February 2009)

To comply with State and SPB regulations and guidelines, the MOD recommends the following correction to DMH practices:

➢ The job analysis study methodology should be properly documented and included in the job analysis report. The job analysis report should be stored in the project file.

Survey Administration: (Uniform Guidelines 14C 4 and 15C 3, SPB Rule 50 – Merit Selection Manual Section 2200)**.**

When collecting job analysis data the department must survey a representative sample of incumbents and supervisors.

The following job analyses did not include incumbents in the study:

- Patient Benefit Insurance Officer I (JA Date: February 2007)
- Chief Engineer I (JA Date: December 2007)
- Case Records Analyst (JA Date: 2009)
- Supervising Rehabilitation Therapist (JA Date: January 2010)

Several DMH job analysis studies did not provide the information necessary to identify proper sampling and representation of the classification. MOD was unable to determine whether an adequate sample was obtained for the following classifications:

- Patient Benefit Insurance Officer I (JA Date: February 2007)
- Barber Shop Manager (JA Date: February 2010)
- Chief Engineer I (JA Date: December 2007)
- Fire Chief (JA Date: December 2010)
- Hospital Police Sergeant (JA Date: February 2009)

To comply with State and SPB regulations and guidelines, the MOD recommends the following corrections to DMH practices:

➢ Survey a representative sample of incumbents for all job analysis studies, in accordance with the sampling guidelines set forth in the SPB Selection Analyst Training Series: Job Analysis class. A summary of appropriate sampling criteria in the job analysis training manual is presented in the table below.

Number of Incumbents	Job Analysis Questionnaire
1 – 30	100%
31 – 50	75%
51 - 200	50%
201 & over	25% - 50%

➢ Utilize incumbents in the specific classification to evaluate the criticality of job analysis components. The job analysis should not rely solely on data provided by individuals outside of the classification.

Job Analysis Rating Criteria: (Uniform Guidelines 14C 4 and 15C 3, SPB Rule 50 – Merit Selection Manual Section 2200)**.**

The job analysis process should assess the importance of tasks and KSAPCs. Additionally, the KSAPCs should be assessed as to whether they are required first day on the job (i.e. expected at entry).

All job analyses audited at DMH did not evaluate the importance of KSAPCs (See Appendix E: Chief Engineer, December 2007).

To comply with State and SPB regulations and guidelines, the MOD recommends the following correction to DMH practices:

> ➢ When rating KSAPCs, assess their importance. SPB utilizes the following scales to assess the "importance" of each KSAPC and whether they are "expected at entry" to the job.

IMPORTANCE: How important is this KSAPC to successful job performance?
0 = Does Not Apply
1 = Moderately Important
2 = Important
3 = Very Important
4 = Critical

EXPECTED AT ENTRY: When is a person expected to have this KSAPC? Is it required before being hired or do they learn it on the job?
0 = Not Needed
1 = Needed
2 = Essential

RELATIONSHIP TO JOB PERFORMANCE: Does possession of more of this KSAPC beyond minimum requirements lead to better job performance?
0 = No Observable Relationship
1 = Observable Relationship

Data Analysis – Cutoff Scores: (Uniform Guidelines 14C 4 and 15C 3, SPB Rule 50 – Merit Selection Manual Section 2200)**.**

When analyzing job analysis data to determine whether to retain tasks and KSAPCs in the final job analysis, differentiate critical/important tasks and KSAPCs from noncritical or unimportant ones by using numerical cutoff values that are directly tied to job analysis rating scales.

Numerical cutoff values must be set at a level that corresponds to "important" for job performance (See Appendix D: SPB Summary of Uniform Guidelines).

> **IMPORTANCE:** How important is this KSAPC to successful job performance?
> 0 = Does Not Apply
> 1 = Moderately Important
> **2 = Important**
> 3 = Very Important
> 4 = Critical

In the above table, the cutoff value corresponds to "important", or a numerical value of 2.

For KSAPCs, an additional cutoff should be set to imply that the KSAPC is needed first day on the job. This is done using the "Expected at Entry" scale. All methods should be clearly described within the job analysis report.

> **EXPECTED AT ENTRY:** When is a person expected to have this KSAPC? Is it required before being hired or do they learn it on the job?
> 0 = Not Needed
> **1 = Needed**
> 2 = Essential

In the above table, the cutoff value corresponds to "needed", or a numerical value of 1.

DMH provided no cut off methodology for the majority of the classifications audited.

To comply with State and SPB regulations and guidelines, the MOD recommends the following correction to DMH practices:

> ➢ When determining essential job components for a classification, cutoff criteria should be set to correspond with "Important" for tasks, and "Important" and "Expected at Entry" for KSAPCS. Document the cut-off methodology and provide an explanation of the analysis in the job analysis report.

Additional Areas of Concern

Task and KSAPC Development: (Uniform Guidelines 14C 4 and 15C 3, State Personnel Board Rule 50 – Merit Selection Manual Section 2200).

While there are multiple ways to develop tasks, the minimum requirement is to describe the observable behaviors and work products. KSAPC statements should be clearly defined so that they are understood by any reader with minimal ambiguity or confusion. The SPB job analysis training manual provides instructions and guidance on proper task and KSAPC development.

The level of quality of tasks and KSAPCs within several DMH job analyses was inconsistent. In several DMH reports, the tasks were minimal and sparse, and did not clearly describe observable behaviors or work products. KSAPCs were also minimal and sparse, and did not clearly define the competency required for the position. These include:

- Fire Fighter (JA Date: October 2008)
- Fire Chief (JA Date: December 2010)
- Supervising Rehabilitation Therapist (JA Dates: November 2007, January 2010)
- Barbershop Manager (JA Date: February 2010)
- Correctional Case Records Analyst (JA Dates: August 2006, November 2009)
- Chief Engineer (JA Date: December 2007)
- Chief, Central Program Services (JA Date: January 2009)
- Patient Benefit Insurance Officer I (JA Date: February 2007)
- Hospital Police Sergeant (JA Date: February 2009)

The number of tasks and KSAPCs for individual classifications is suspected to be insufficient for capturing all the essential duties and job requirements. All classifications audited contained between 10 to 20 tasks and 10 to 20 KSAPCs. Most jobs will consist of 30 to 100 essential tasks and 30 to 100 KSAPCs. When job analyses have significantly fewer than this range, it is typically an indication that the job analysis is not comprehensive of the entire job, or that the statements are written so broad that they don't capture individual components of the job.

EXAM DEVELOPMENT

The SPB is responsible for overseeing the State's employment selection system, including testing and examination processes conducted on both centralized and decentralized bases, as well as ensuring that departmental testing activities result in merit- and fitness-based job-related selection decisions in civil service (Government Codes 18930 &19052).

Violations

Confidentiality of Exam Development Processes and Materials: (Government Code Section 8934, State Personnel Board Rule 50 – Merit Selection Manual Section 2200, SPB Rule 250).

Exam development meetings are conducted to draft, review, finalize, and approve all content for exam materials. All exam materials are confidential and should not be distributed in a manner that exam content can be compromised. Exam development should occur in a controlled setting, adhering to confidential exam security practices, including the signing of confidentiality agreements (See Code Section 18934 in Appendix A: Government Code, Sections 19052, 18930, & 18934). A qualified exam analyst should actively participate in exam development to ensure the security, quality, and content validity of all exam components.

There was a general pattern of inappropriate processes used for exam development activities, which could jeopardize the confidentiality of the exam. For example, instead of facilitating exam development meetings in a controlled setting for the Automotive Equipment Operator, 2009, Chief Engineer, 2008, Fire Chief, 2001 & 2005, DMH sent general instructions to SMEs via a memorandum requesting that they complete a confidentiality agreement. SMEs were then instructed to develop questions independently and mail them to the DMH exam analyst upon completion. In other instances exam questions were emailed directly back to the analyst (See Appendix F: Exam Correspondence). Projects implementing these practices include:

- Patient Benefits and Insurance Officer I (Exam Date: August 2010)
- Chief Physician and Surgeon (Continuous)
- Materials and Stores Supervisor (Exam Date: February 2011)
- Cook Specialist I (Continuous)

The following classifications audited did not contain security agreements within the project file:

- Psychiatric Technician (Safety; Exam Date: February 2009)
- Clinical Social Worker (Continuous)
- Chaplain (Exam Date: Unknown)

To comply with State and SPB regulations and guidelines, MOD recommends the following corrections to DMH practices:

➢ Maintain strict confidentiality of all exam-related materials and exam development processes by having a qualified exam analyst proctor all activities involving the use of SMEs. Do not send confidential exam materials electronically, or release exam materials to SMEs outside of a controlled setting.

> ➢ Ensure that all SMEs sign confidentiality agreements and that these agreements are stored in the exam file.

Exam Item and KSAPC Linkages: (Uniform Guidelines 14C 4 and 15C 3, State Personnel Board Rule 50 – Merit Selection Manual section 2200, SPB Rule 250).

In order to demonstrate the job-relatedness of every exam component, exam questions should have a direct and clear link back to the retained job analysis KSAPCs,

For most exams at DMH, the job-relatedness of the exam was either not properly documented or not clear. Some exam components were linked to the knowledge and abilities posted on the exam bulletin rather than to the current job analysis. In other exams, such as the Patient Benefits and Insurance Officer I (Exam Date: August 2010), the exam items were not tied to any KSAPCs at all. Test items must link back to those KSAPCs within a completed job analysis to provide evidence of the job-relatedness of the exam. Questions must be written and supported on the basis of job analysis results.

To comply with State and SPB regulations and guidelines, MOD recommends the following corrections to DMH practices:

> ➢ Document and report the relationship between all exam materials and a current job analysis. Link each exam item directly to the important and required at entry KSAPCs listed in the final job analysis report. Linking exam items to knowledge and ability statements posted on the exam bulletin is not sufficient to demonstrate evidence of job-relatedness.

Examination Validation Documentation: (Uniform Guidelines 15C 3, State Personnel Board Rule 50 – Merit Selection Manual Section 2200, SPB Rule 250).

All exam development and validation activities demonstrating the job-relatedness and standardization of exams must be properly documented and reported. Reports should include information regarding exam scoring models, development activities, pilot testing procedures, test item/KSAPC linkage, and pass point setting information. Additional information regarding SME participant demographics and SME classification/qualifications should also be included.

For all exams audited, no validation reports were provided by DMH. While some of the required information was present in the history file, there was no established procedure for how the exam information was collected, documented or stored.

Exam files that did contain partial information did not clearly report the processes used to demonstrate the job-relatedness of the exam through test-item/KSAPC linking. Methods for establishing the final pass point were not reported. SME demographics (e.g., classification, tenure, work location, scope of expertise, etc.) were not documented. Examples of history files with limited information include:

- Psychiatric Technician (Safety; Exam Date: February 2009)
- Patient Benefits and Insurance Officer I (Exam Date: August 2010)
- Chief Physician and Surgeon (Continuous)
- Case Records Analyst (Exam Given: December 2010)
- Barbershop Manager (Exam Date: December 2010)
- Chief Engineer (Exam Date: December 2008)
- Cook Specialist I (Continuous)
- Clinical Social Worker (Continuous)
- Hospital Police Sergeant (Exam Date: April 2010)

To comply with State and SPB testing regulations and guidelines, the MOD recommends the following corrections to DMH practices:

> Develop and utilize consistent validation reporting methods to clearly document exam development and validation activities. Include all necessary information outlined in the Uniform Guidelines on Employee Selection Procedures and the SPB Rule 50 – Merit Selection Manual (See Appendix I: Validity Verification Checklist).

Additional Areas of Concern

Exam development - Scoring Criteria: (State Personnel Board Rule 50 – Merit Selection Manual Section 1300, SPB Rule 250).

Structured Interview scoring criteria must provide a descriptive rating system for scoring candidate responses. Such scoring criteria will typically distinguish between well qualified, qualified, and unqualified candidates. Raters must be given sufficient information to properly score candidates in an unbiased and consistent fashion.

Several exams contained scoring criteria that did not provide clear definitions of (as categorized in DMH exams) "not ready", "satisfactory", "well-qualified", and "superior" rating categories. Scoring criteria with such limited description cannot effectively differentiate between unqualified and qualified candidates. Additionally, scoring criteria within categories was so narrow it would be difficult to differentiate between candidates in a fair and consistent manner. The exams showed a pattern of over-reliance on simply having the candidate list suggested responses rather than comprehensively demonstrate their knowledge or ability within a particular job domain.

Several DMH projects included inappropriate scoring criteria:

- Fire Chief (Exam Dates: 2001, 2005)
- Clinical Social Worker (Continuous)
- Patient Benefits and Insurance Officer I (Exam Date: August 2010)
- Chaplain (Exam Date: Unknown)
- Case Records Analyst (Exam Given: December 2010)

- Chief Physician and Surgeon (Continuous)
- Barbershop Manager (Exam Date: December 2010)
- Materials and Stores Supervisor (Exam Date: February 2011)
- Cook Specialist I (Continuous)
- Hospital Police Sergeant (April 2010)

Exam Item Development – Pass Points

Pass points for oral exams have to be set at the baseline level, such that minimally qualified candidates would pass the exam. In the case of DMH exams, this would correspond to a score of "satisfactory".

For the Chief Physician and Surgeon exam, the exam developers indicated that there was no "satisfactory" response to the question, limiting the scoring of candidates into "superior", "well-qualified", or "not ready" categories. With the "satisfactory" scoring category eliminated, the minimally acceptable candidate score was not identified, resulting in an inappropriate pass point.

Exam Item Development – Exam Length

To reliably evaluate the competencies required for the job, MOD recommends having at least 8-10 structured interview questions.

Every exam audited had fewer than the standard recommended number of questions:

- Chaplain (Exam Date: Unknown): 5 questions
- Materials and Store Supervisor (Exam Date: February 2011): 5 questions
- Chief Physician and Surgeon (Continuous): 4 questions
- Clinical Social Worker (Continuous): 5 questions
- Chief Engineer (Exam Date: December 2008): 5 questions
- Automotive Equipment Operator I (Exam Date: November 2009): 7 questions
- Case Records Analyst (Exam Date: December 2010): 7 questions
- Supervising Rehabilitation Therapist: 6 questions
- Fire Fighter (Exam Date: April 2009): 7 questions
- Chief, Central Program Services (Exam Date: April 2009): 7 questions
- Psychiatric Technician (Safety; Exam Date: February 2009): 6 questions
- Cook Specialist I (Continuous): 6 questions
- Fire Chief (Exam Dates: 2001, 2005): 7 questions

Exam Item Development - Pilot Testing

In order to determine the clarity of instructions, establish the time limits that should be applied during instrument administration, and verify how well the exam identifies the most qualified applicants, examinations should be pilot tested using a sample of incumbents.

Pilot testing data was not provided for any of the DMH exams.

EXAM PROCESSING AND ADMINISTRATION

Examination Processing and Administration: (Government Code Section 19052).

Exam processes and administration should adhere to the rules and regulations of the SPB, statutory authority for civil service examinations, and the guidelines set forth in Government Code Section 19052 (See Appendix A: Government Code, Sections 19052, 18930, & 18934). Exam processes should be properly documented and stored in a history file, including pertinent information such as exam bulletins, examination applications, scoring reports, final results, and bottom line hiring reports.

The filing system used by DMH should be improved in terms of organization and accessibility. Job analysis reports were not systematically stored (e.g., alphabetically, by date). It was difficult for the MOD to locate many documents or files relevant to the audit. While many project folders were organized appropriately, several others were filed and stored unsystematically, and/or were located away from the central archive of projects.

To comply with State and SPB testing regulations and guidelines, MOD recommends the following corrections to DMH practices:

> ➢ Consolidate all job analysis reports, exams, validation reports, and pertinent documentation in a systematic manner based upon classification.

> ➢ Adopt and adhere to consistent filing procedures to ensure accessibility and that appropriate and necessary information is documented.

SUMMARY

This study included the review of several DMH job analysis, exam development, and exam administration practices and procedures. To ensure adherence to the laws and rules of the SPB, statutory authority for civil service examinations, and the guidelines set forth in Government Code Section 19052 (See Appendix A: Government Code, Sections 19052, 18930, & 18934), the MOD advises DMH to resolve the violations and implement the recommendations provided within this report.

In order to assist DMH in the development of sound hiring practices, the MOD is requiring all selection analysts and exam managers at DMH headquarters and the Coalinga Human Resources office complete the Selection Analyst Training series provided by the SPB. Additionally, it is recommended that DMH become familiar with the SPB Job Analysis Manual, as this includes all the necessary information to conduct thorough job analyses.

Implementing the procedural changes described in this report will assist the Coalinga Human Resources office in regaining testing delegation. Documents providing guidance on exam development and validation, and filing procedures are attached in this report (See Appendix H: Exam Methodology, Appendix I: Validity Verification Checklist, and Appendix J: Filing Procedures).

SUMMARY OF RECOMMENDATIONS

Job Analysis Information/Report (Uniform Guidelines 15C 3, SPB Rule 50 – Merit Selection Manual Section 2200, SPB Rule 250)**.**

 ➢ Job analysis information should be collected and properly documented for each exam that is administered.

Job Analysis Methods (Uniform Guidelines 15C 3, SPB Rule 50 – Merit Selection Manual Section 2200, SPB Rule 250)**.**

 ➢ The job analysis study methodology should be properly documented and included in the job analysis report. The job analysis report should be stored in the project file.

Survey Administration: (Uniform Guidelines 14C 4 and 15C 3, SPB Rule 50 – Merit Selection Manual Section 2200)**.**

 ➢ Survey a representative sample of incumbents for all job analysis studies, in accordance with the sampling guidelines set forth in the SPB Selection Analyst Training Series: Job Analysis class. A summary of appropriate sampling criteria in the job analysis training manual is presented in the table below.

Number of Incumbents	Job Analysis Questionnaire
1 – 30	100%
31 – 50	75%
51 - 200	50%
201 & over	25% - 50%

 ➢ Utilize incumbents in the specific classification to evaluate the criticality of job analysis components. The job analysis should not rely solely on data provided by individuals outside of the classification.

Job Analysis Rating Criteria: (Uniform Guidelines 14C 4 and 15C 3, SPB Rule 50 – Merit Selection Manual Section 2200)**.**

> ➢ When rating KSAPCs, assess their importance. SPB utilizes the following scales to assess the "importance" of each KSAPC and whether they are "expected at entry".

IMPORTANCE: How important is this KSAPC to successful job performance?
0 = Does Not Apply
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EXPECTED AT ENTRY: When is a person expected to have this KSAPC? Is it required before being hired or do they learn it on the job?
0 = Not Needed
1 = Needed
2 = Essential

RELATIONSHIP TO JOB PERFORMANCE: Does possession of more of this KSAPC beyond minimum requirements lead to better job performance?
0 = No Observable Relationship
1 = Observable Relationship

Data Analysis – Cutoff Scores: (Uniform Guidelines 14C 4 and 15C 3, SPB Rule 50 – Merit Selection Manual Section 2200)**.**

> ➢ When determining essential job components for a classification, cutoff criteria should be set to correspond with "Important" for tasks, and "Important" and "Expected at Entry" for KSAPCS. Document the cut-off methodology and provide an explanation of the analysis in the job analysis report.

Confidentiality of Exam Development Processes and Materials: (Government Code Section 8934, State Personnel Board Rule 50 – Merit Selection Manual Section 2200, SPB Rule 250).

> ➢ Maintain strict confidentiality of all exam-related materials and exam development processes by having a qualified exam analyst proctor all activities involving the use of SMEs. Do not send confidential exam materials electronically, or release exam materials to SMEs outside of a controlled setting.

> ➢ Ensure that all SMEs sign confidentiality agreements and that these agreements are stored in the exam file.

Exam Item and KSAPC Linkages: (Uniform Guidelines 14C 4 and 15C 3, State Personnel Board Rule 50 – Merit Selection Manual section 2200, SPB Rule 250).

> ➢ Document and report the relationship between all exam materials and a current job analysis. Link each exam item directly to the important and required at entry KSAPCs listed in the final job analysis report. Linking exam items to knowledge and ability statements posted on the exam bulletin is not sufficient to demonstrate evidence of job-relatedness.

Examination Validation Documentation: (Uniform Guidelines 15C 3, State Personnel Board Rule 50 – Merit Selection Manual Section 2200, SPB Rule 250).

> ➢ Develop and utilize consistent validation reporting methods to clearly document exam development and validation activities. Include all necessary information outlined in the Uniform Guidelines on Employee Selection Procedures and the SPB Rule 50 – Merit Selection Manual (See Appendix I: Validity Verification Checklist).

Examination Processing and Administration: (Government Code Section 19052).

> ➢ Consolidate all job analysis reports, exams, validation reports, and pertinent documentation in a systematic manner based upon classification.

> ➢ Adopt and adhere to consistent filing procedures to ensure accessibility and that appropriate and necessary information is documented.

APPENDIX A: Government Code, Sections 19052, 18930 & 18934

I. **19052.** Whenever a vacancy in any position is to be filled and not by transfer, demotion, or reinstatement, the appointing power shall submit to the board, in accordance with board rules, a statement of the duties of the position, the necessary and desired qualifications of the person to be appointed, and a request that the names of persons eligible for appointment to the position be certified. When the appointing power establishes to the satisfaction of the board that the necessary qualifications for the vacant position include fluency in a language in addition to English only the names of persons possessing such fluency shall be certified.

II. **18930.** Examinations for the establishment of eligible lists shall be competitive and of such character as fairly to test and determine the qualifications, fitness, and ability of competitors actually to perform the duties of the class of position for which they seek appointment.

Examinations for managerial positions, except for career executive assignments as defined in Section 18547, peace officers defined in subdivision (a) of Section 830.2 of the Penal Code, and managerial positions of the Department of Forestry and Fire Protection in the classes of State Forest Ranger IV and Assistant Deputy State Forester, shall be held on an open basis unless the appointing authority determines otherwise. "Managerial position" means those positions having the duties which are defined under "managerial employees" in subdivision (e) of Section 3513. When an open examination is administered for a noncareer executive assignment managerial position, the names of the applicants who pass the examination with a passing score shall be placed on one list and ranked in the relative order of the examination score received.

Examinations may be assembled or unassembled, written or oral, or in the form of a demonstration of skill, or any combination of these; and any investigation of character, personality, education, and experience and any tests of intelligence, capacity, technical knowledge, manual skill, or physical fitness which the board deems are appropriate, may be employed.

III. **18934.** Every applicant for examination shall file a formal signed application in the office of the board or a designated appointing power within a reasonable length of time before the date of examination. Blank application forms shall be furnished without charge to all persons requesting them. Such applications when filed and all other examination materials, including examination questions and booklets, are the property of the board and are confidential records open to inspection only if and as provided by board rule. The application form shall include a place for listing volunteer experience and such experience shall be considered if it is relevant to the position being applied for. Each form shall have prominently displayed on its face the fact that volunteer experience will be given consideration as qualifying experience for state employment.

APPENDIX B: List of Job Analysis and Exam Projects Audited

The MOD conducted audits at DMH in April 2011 for the following classifications:

	Classification
1	Automotive Equipment Operator I
2	Barbershop Manager
3	Case Records Analyst
4	Catholic Chaplin
5	Chief Engineer
6	Chief Physician and Surgeon
7	Chief, Central Program Services
8	Clinical Social Worker
9	Cook Specialist I
10	Correctional Case Records Analyst
11	Fire Chief
12	Fire Fighter
13	Hospital Police Sergeant
14	Materials and Stores Supervisor
15	Patient Benefit Insurance Officer I
16	Psychiatric Technician
17	Supervising Rehabilitation Therapist

APPENDIX C: SPB Rule 50 & 250

Title 2. Administration
Division 1. Administrative Personnel
Chapter 1. State Personnel Board
Subchapter 1. General Civil Service Regulations
Article 3.5. Selection Standards

§ 50. Merit Selection Manual.

Each agency and department with delegated or decentralized selection responsibilities shall develop and maintain a selection program as specified in the State Personnel Board's Merit Selection Manual: Policy and Practices, dated October 2003, and in accordance with existing laws and rules. The State Personnel Board's Merit Selection Manual: Policy and Practices, dated October 2003, is hereby incorporated by reference in its entirety.

   Note: Authority cited: Sections 18211 and 18701, Government Code. Reference: Article 7, Sections 1 and 3, California Constitution; and Sections 18213, 18500, 18900, 18930, 18950 and 19050, Government Code.

HISTORY

1. New article 3.5 (section 50) and section filed 2-6-2003; operative 2-6-2003. Submitted to OAL for printing only pursuant to
Government Code section18213 (Register 2003, No. 7).

2. Amendment of Merit Selection Manual: Policy and Practices (incorporated by reference) and amendment of section and Note filed 5-17-2004; operative 5-17-2004. Submitted to OAL for printing only pursuant to
Government Code sections 18211 and 18213 (Register 2004, No. 21).

3. Amendment of Merit Selection Manual: Policy and Practices (incorporated by reference) and amendment of section and Note filed 5-17-2004; operative 5-17-2004. Submitted to OAL for printing only pursuant to
Government Code sections 18211 and 18213 (Register 2004, No. 22).

2 CCR s 50, 2 CA ADC s 50

TITLE 2. ADMINISTRATION
DIVISION 1. ADMINISTRATIVE PERSONNEL
CHAPTER 1. STATE PERSONNEL BOARD
SUBCHAPTER 1. GENERAL CIVIL SERVICE REGULATIONS
ARTICLE 10. APPOINTMENTS

§ 250. Requirement That Selection Be Based on Merit and Fitness.

(a) Appointments to positions in the State civil service made from eligible lists in a manner consistent with provisions of Sections 254, 254.1, and 254.2 as related to the certification of eligibles, by way of transfer, as defined in Government Code Section 18525.3, or by way of reinstatement, as defined in Government Code Section 19140, shall be made on the basis of merit and fitness, defined exclusively as the consideration of each individual's job-related qualifications for a position, including his/her knowledge, skills, abilities, experience, education, training, physical and mental fitness, and any other personal characteristics relative to job requirements, as determined by candidate performance in selection procedures, including, but not limited to, hiring interviews, reference checks, background checks, and/or any other procedures, which assess job-related qualifications and are designed and administered to select those individuals who best meet the selection need.

(b) Eligible lists shall be created on the basis of merit and fitness, and, as such, shall result from: recruitment strategies designed to be as broad and inclusive as necessary to best meet the selection need; and candidate performance in selection procedures that assess job-related qualifications, are competitive in nature, are designed and administered to fairly and objectively identify those candidates who meet the selection need, and result in the ranking of candidates based on their job-related qualifications.

(c) Permanent status in permanent appointments to the civil service is achieved after completion of the required probationary period, the final phase of the selection process. Assessment of employee performance during the probationary period shall be made on the basis of merit and fitness, with regard to the individual's qualifications, including his/her knowledge, skills, abilities, experience, education, training, physical and mental fitness, and any other personal characteristics relative to job requirements, and his/her job-related performance.

(d) All phases of the selection process, including recruitment and examining, eligible list creation, appointment, and completion of the civil service probationary period, shall provide for the fair and equitable treatment of applicants and employees on an equal opportunity basis without regard to political affiliation, race, color, ancestry, national origin, sex, sexual orientation, religion, disability, medical condition, age, or marital status.

(e) Nothing herein shall be construed to relieve appointing powers from the obligation to reasonably accommodate individuals with disabilities as required under the Americans with Disabilities Act, the Fair Employment and Housing Act, and the Civil

Service Act.

(f) Nothing herein shall be construed so as to contravene the intent and purpose of Article VII, Section 6, of the California Constitution, which provides for the granting of preferences in state civil service to veterans and their surviving spouses.

(g) Intra-departmental job assignment transfers within the same job classification, such as assignments to different work shifts or work locations, or time base changes pursuant to Section 277 do not constitute appointments for purposes of this regulation.

Note: Authority cited: Sections 18211 and 18701, Government Code. Reference: Article VII, Sections 1 and 6, California Constitution; Sections 18213, 18500, 18525.3, 18900, 18930, 18950, 18951, 18971-18979, 19050, 19052, 19140, 19171, 19173 and 19702.2, Government Code.

HISTORY

1. New section filed 5-17-2004; operative 5-17-2004. Submitted to OAL for printing only pursuant to Government Code sections 18211 and 18213 (Register 2004, No. 21).

APPENDIX D: SPB Summary of Uniform Guidelines

The following excerpt is from a summary of the *Uniform Guidelines on Employee Selection Procedures (Uniform Guidelines)* prepared by the State Personnel Board's Test Validation and Construction Program. The *Uniform Guidelines*, in its entirety, is available for review at www.uniformguidelines.com.

Introduction

This summary of the *Uniform Guidelines for Employee Selection Procedures* is intended to provide a brief overview of the provisions contained in the *Uniform Guidelines*. This summary should be used in conjunction with the full text of the *Uniform Guidelines* to address specific selection-related queries.

History of the *Uniform Guidelines on Employee Selection Procedures*

The Civil Rights Act of 1964 established that employment decisions based on race, color, religion, sex, or national origin are discriminatory and illegal. In 1978, the U.S. Civil Service Commission, the Department of Labor, the Department of Justice, and the Equal Employment Opportunity Commission jointly adopted the *Uniform Guidelines on Employee Selection Procedures* to establish uniform standards for employers for the use of selection procedures and to address adverse impact, validation, and record-keeping requirements. The *Uniform Guidelines* document a uniform federal position in the area of prohibiting discrimination in employment practices on the basis of race, color, religion, sex, or national origin. The *Uniform Guidelines* outline the requirements necessary for employers to legally defend employment decisions based upon overall selection processes and specific selection procedures.

The *Uniform Guidelines* are not in and of themselves legislation or law; however, through their reference in a number of judicial decisions, they have been identified by the courts as a source of technical information and have been given deference in litigation concerning employment issues.

In addition to the *Uniform Guidelines* themselves, a separate document entitled *Questions and Answers on the Uniform Guidelines on Employee Selection Procedures* was released in 1979 to provide further clarification and a common interpretation of the *Uniform Guidelines*

APPENDIX E: Chief Engineer, December 2007 KSA Rating Scale

JOB ANALYSIS MATRIX
Complete KSA Listing

Classification: __Chief Engineer I__   Date: __12/4/07__

Location: __CSH__   Analyst: __Amanda Smart__

SME: _____   Title: __Chief Engineer II__

#	KNOWLEDGE, SKILL, ABILITY	KSA Needed BEFORE or AFTER Appointment? (BEFORE)	KSA Needed BEFORE or AFTER Appointment? (AFTER)	Task Number(s)
1.	Comprehensive knowledge of the methods, materials and tools used in the operation, maintenance and repair of heating, ventilation, and air-conditioning (HVAC), boilers, refrigeration, electrical, water, sewage and other mechanical systems in order to maintain a preventive maintenance program and repair/replace systems within the Physical Plant.	X		1,4,7
2.	Basic knowledge of the California Code of Regulations (CCR) Title 8, Division of Industrial Safety Orders applying to heating, ventilation, air-conditioning (HVAC), boilers, refrigeration, electrical, water, sewage, and other mechanical systems in order to be in compliance and maintain safe equipment and work environment.	X		6,18
1.	Communicating effectively in order to exchange information and/or provide direction to staff and others.		X	7,11,13
2.	Planning, scheduling, and overseeing the work of installing, operating, repairing, and maintaining boilers, refrigeration, HVAC systems, water, wastewater, electrical and other mechanical systems to provide services to the institution and for continued operations of the physical plant.		X	1,2,4,7,12,16
3.	Keeping accurate records and preparing reports to maintain compliance with mandated laws, regulatory agencies, and departmental operational procedures.		X	11,17
4.	Reading, understanding and applying information contained in prints and drawings.		X	3
5.	Writing in a clear and concise manner in order to relay information and provide direction to staff and to complete documentation and maintain records related to the physical plant.		X	11
6.	Following written and verbal direction/instruction in order to carry out assignments.	X		4,7,15
1.	Remain calm and focused on assigned tasks while working in an environment of excessive noise, high-voltage electricity, high-pressure steam, chemicals, and extreme temperatures in order to safely and properly maintain the physical plant.	X		4
2.	Think and act quickly in emergency situations and evaluate the most appropriate course of corrective action to minimize disruption of program services to the facility.	X		7
3.				
4.				

APPENDIX F: Exam Correspondence Examples

(12/0 2000) Chris Carl - Form - Exam Security - QAP Question Development.doc   Page 1

CALIFORNIA DEPARTMENT OF

Mental Health
Coalinga State Hospital

Memorandum

To: Edward Salinas   **Date:** October 31, 2008
            Leroy Barker
            Stan Streeter
            Chris Carl

From: Donna Corkill

Subject: Chief Engineer I QAP QUESTION DEVELOPMENT

Please find attached the following documents:

- Security Information for Examination Consultants
- Form 511D Critical Class Requirements
- Guidelines to Exam Consultants
- Oral Interview Question Preparation Form

Prior to any question development please complete the 'Security Information for Examination Consultants' and return the form to me by inter-office mail.

I am requesting that you develop a total of three (3) questions for this examination. Please ensure that each Knowledge, Skill, and Ability listed on the Form 511D is addressed in your question development. All of the completed material is to be returned to me.

Thank you for your assistance in this matter. If you require further information or have questions please contact me.

Donna Corkill
Exam/Hiring Analyst

PERSONNEL SE...
2008 DEC 11 PM 2:07

Attachments

(12/3/2008) Chris Carr - Form - Exam Security - QAP Question Development.doc   Page 3

COALINGA STATE HOSPITAL

Security Information For Examination Consultants

Preparation, Review, or Scoring of
State Civil Service Examination Material

State law requires that all State civil service examinations be confidential and impartial. We ask that you assume a personal responsibility in helping us to maintain the competitive aspects and confidential nature of this examination. The personal information that you provide on this form is required for documentation purposes. All information will remain confidential.

As a consultant, you must comply with the following test security standards:

1. <u>DO NOT</u> reveal the fact that you are participating in the examination process to anyone beyond the necessary clearances for the working time involved.

2. <u>DO NOT</u> discuss any aspect of the examination with anyone except the Exam Analyst working on the test. This security limitation includes questions and answers, identity of competitors, qualifications of competitors, or any result of the test.

3. <u>DO NOT HAVE YOUR MATERIAL TYPED</u> by anyone else. Material must:

   A.   Be in your own handwriting; or

   B.   Typed by you on a personal computer where the following conditions are met:

      1) The questions are stored on a disk.
      2) The disk is locked in a secure place when not in use.

I have read and understand the standards stated above.

Signature: _____   Date: _12-3-08_

Printed Name: _____   Office Phone: _4325_

Department of Mental Health

Address: **Coalinga State Hosptial**

PO Box 5002

Coalinga, CA 93210

EXAMINATION TITLE: **Chief Engineer I**

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Security Information For Examination Consultants
Documentation Of Expertise

Consultant's Civil Service Classification:

Time in this Classification:

___ 0 to 6 months

___ 7 to 12 months

_✓_ 13 to 24 months

___ 25 to 48 months

___ 49 or more months

Total Time in State Service:

___ 0 to 6 months

___ 7 to 12 months

___ 13 to 24 months

_✓_ 25 to 48 months

___ 49 or more months

Check the following YES or NO responses to describe your experience as a test consultant:

YES	NO	
✓	___	I have prepared written test items for this classification or similar classifications in the past.
✓	___	I have prepared interview questions or problems for this classification or similar classifications in the past.
___	___	I have served on Qualifications Appraisal Panels (or EDA/PRE panels) as a State Service Representative for this classification or similar classifications in the past.

To aid the Department of Mental Health in its commitment to equal employment opportunity, consultants are asked to voluntarily provide the following information. Please check in the appropriate areas which best describes your gender and ethnicity.

Gender: _✗_ MALE   Ethnicity: _✓_ WHITE   ___ FILIPINO

___ FEMALE   ___ BLACK   ___ AMERICAN INDIAN

                                    ___ HISPANIC   ___ POLYNESIAN

                                    ___ ASIAN   ___ OTHER

We appreciate your cooperation in supplying us with this information, and in helping us maintain these security standards.

DEPARTMENT OF MENTAL HEALTH

Form 100-566

27

COALINGA STATE HOSPITAL

Security Information For Examination Consultants

Preparation, Review, or Scoring of
State Civil Service Examination Material

State law requires that all State civil service examinations be confidential and impartial. We ask that you assume a personal responsibility in helping us to maintain the competitive aspects and confidential nature of this examination. The personal information that you provide on this form is required for documentation purposes. All information will remain confidential.

As a consultant, you must comply with the following test security standards:

1. <u>DO NOT</u> reveal the fact that you are participating in the examination process to anyone beyond the necessary clearances for the working time involved.

2. <u>DO NOT</u> discuss any aspect of the examination with anyone except the Exam Analyst working on the test. This security limitation includes questions and answers, identity of competitors, qualifications of competitors, or any result of the test.

3. <u>DO NOT HAVE YOUR MATERIAL TYPED</u> by anyone else. Material must:

    A.   Be in your own handwriting; or

    B.   Typed by you on a personal computer where the following conditions are met:

        1) The questions are stored on a disk.
        2) The disk is locked in a secure place when not in use.

I have read and understand the standards stated above.

Signature: _____   Date: __12/27/07_____

Printed Name: _____   Office Phone: __935-7261_____

            Department of Mental Health

Address: **Coalinga State Hosptial**_____

            PO Box 5002_____

            Coalinga, CA 93210_____

EXAMINATION TITLE: **Chief Engineer I**_____

**Security Information For Examination Consultants
Documentation Of Expertise**

Consultant's Civil Service Classification:

Time in this Classification:	Total Time in State Service:

_____ 0 to 6 months	_____ 0 to 6 months
_____X_ 7 to 12 months	_____X_ 7 to 12 months
_____ 13 to 24 months	_____ 13 to 24 months
_____ 25 to 48 months	_____ 25 to 48 months
_____ 49 or more months	_____ 49 or more months

Check the following YES or NO responses to describe your experience as a test consultant:

YES	NO	
_____	__X__	I have prepared written test items for this classification or similar classifications in the past.
__X__	_____	I have prepared interview questions or problems for this classification or similar classifications in the past.
__X__	_____	I have served on Qualifications Appraisal Panels (or EDA/PRE panels) as a State Service Representative for this classification or similar classifications in the past.

To aid the Department of Mental Health in its commitment to equal employment opportunity, consultants are asked to voluntarily provide the following information. Please check in the appropriate areas which best describes your gender and ethnicity.

Gender: _X___ MALE   Ethnicity: _X___ WHITE   _____ FILIPINO

_____ FEMALE   _____ BLACK   _____ AMERICAN INDIAN

_____ HISPANIC   _____ POLYNESIAN

_____ ASIAN   _____ OTHER

We appreciate your cooperation in supplying us with this information, and in helping us maintain these security standards.

DEPARTMENT OF MENTAL HEALTH

Form 100-566

29

Automotive Equipment
Operator I

PERSONNEL CSH
SERVICE

GUIDELINES TO EXAM CONSULTANTS FOR
DEVELOPMENT OF ORAL INTERVIEW QUESTIONS AM 10: 20

These guidelines are designed to assist subject-matter experts (consultants) in the development of interview questions for competitive civil service examinations in the Department of Mental Health.

DEFINITIONS

Generally oral interview examinations conducted in the Department are either patterned or structured, or can be a combination of both.

Patterned - In a patterned interview candidates are asked a core of predetermined questions during the course of the interview.

Structured - In a structured interview candidates are given the questions in writing prior to the interview and are allowed preparation time to formulate the answers they will give during the interview.

DEVELOPMENT OF QUESTIONS

All exam questions must be job-related, and cover the Critical Class Requirements. This means that only the job related knowledge and abilities listed on the Form 511-D, "Critical Class Requirements," can serve as the basis for developing the questions.

Exam questions should relate to the job tasks that you believe are highly important to success in the job. Establish task importance by identifying:

- Tasks for which the consequence of error is greatest if not performed successfully, i.e., the job tasks which will "distinguish an excellent employee from a poor employee."

- Tasks, which are the most time-consuming or which are so frequently, performed that the cumulative time is great.

- Tasks most difficult to learn or perform successfully.

- Tasks most often performed with minimal supervision.

Using the same sources described above, you should then identify knowledge and abilities necessary to perform the tasks deemed important or essential to job success. These sources may also assist in determining the type of questions to be asked by indicating what kind of response would be necessary for job performance (i.e., analysis of information, knowledge of learned material, etc.). This is especially important when developing questions for supervisory or managerial classes where testing solely for technical knowledge is inappropriate. Knowledge, skills or abilities that are acquired after appointment or have been thoroughly evaluated in a written test should not be considered.

Form 100-566

30

**GUIDELINES TO EXAM CONSULTANTS FOR
DEVELOPMENT OF ORAL INTERVIEW QUESTIONS**

Exam questions should require the candidates to use the knowledge and abilities in a manner similar to the way that employees use them on the job. This means that questions, to the degree possible, should be put within the context of the job.

Each exam question should be designed so that if given to current incumbents, the better employees would tend to answer the question correctly, and the poorer employees would tend to miss the question or answer marginally.

Exam questions must be fair to all candidates in that candidates should be able to gain reasonably comparable access or exposure to the knowledge and abilities as part of their background. This is especially important in promotional examinations, where one segment of the candidate group might gain an unfair competitive advantage over others through specialized job assignments or training, and thereby serve as the basis for less competitive candidates to successfully challenge the examination.

Exam questions must be equally fair to all candidates without regard to race, color, creed, national origin, sex, marital status, disability, religious or political affiliation, age or sexual orientation.

TYPES OF QUESTIONS
Two types of questions lend themselves most readily to effective interviewing: direct questions which ask for specific, factual information; and situation questions which pose a problem or situation.

Direct questions are used to measure knowledge of terminology, specific facts, principles, methods or procedures, simple interpretation of data, etc. One advantage of such questions is the relative ease with which they are produced and administered and with which the responses are measured.

Situational questions are used to measure the ability to select, organize and integrate items of knowledge in an analysis of a problem, i.e., the candidate applies a knowledge of terms, facts, principles, etc., to a job-related hypothetical problem or situation. These questions are more difficult to produce and more time-consuming to administer, and the responses are more difficult to evaluate.

Questions should always be worded in a clear and concise manner. Open-ended or vague questions will produce rambling responses, which will be difficult to evaluate. Questions with multiple parts may lead to confusion, should be used sparingly, and then only for classes where the job requires that the candidate differentiate and organize verbal information.

Patterned or structured questions are not limited to the direct or situational types of questions as long as the questions are job related and measure what they are intended to measure.

GUIDELINES TO EXAM CONSULTANTS FOR DEVELOPMENT OF ORAL INTERVIEW QUESTIONS

PATTERNED QUESTION FORMAT
In preparing patterned questions, the critical factor should be well defined and precede questions for that factor. Immediately following each question, a range of expected answers should be shown (see Sample, Attachment I).

NUMBER OF QUESTIONS
It is your responsibility to develop five or more questions of equal difficulty covering **most** of the critical factors, along with expected responses. The number of questions that will be asked of each candidate will depend upon the number of critical factors which lend themselves to interview questions; the time if any, planned for the nonpatterned/structured portion of the interview, and the weight given to the interview as opposed to the written exam, if any.

SECURITY
In preparing and transmitting questions and responses, you should ensure that examination security is not compromised. Questions should be handwritten or self-typed on a typewriter or personal computer and should be secured when you are not working on them. When completed, you should deliver the material personally or transmit it in a sealed envelope marked "confidential" to the appropriate Examination Analyst in the Personnel Office.

SHOULD YOU HAVE ANY QUESTIONS OR ENCOUNTER PROBLEMS IN DEVELOPING THE EXAM MATERIAL(S), CONTACT THE EXAM ANALYST YOU HAVE BEEN WORKING WITH.

PATTERNED OR STRUCTURED SAMPLE QUESTION FORMAT

Instructions   Competitors should be asked all the questions relating to Factor A.

Critical Factor   A.   Technical Skill

(Task)

(Knowledge, skill   A Selection Research Analyst conducts job analyses to support validation of written and oral examinations. To do this he/she must be knowledgeable in sample or ability) selection, job analysis techniques and data interpretation.

Question 1

What criteria should be considered when selecting a sample for job analysis of a State class?

(Direct question calling for application of knowledge, e.g., how State jobs may vary, how population varies, etc.)

Range of Responses (All answers equally acceptable.)

1.   Size of sample for statistical purposes.

2.   Geographic location of class.

3.   Organizational assignment, e.g., headquarters, office, branch, etc.

4.   Protected group representation.

5.   Cyclical nature of job.

6.   Tenure on job.

7.   Training received.

8.   Other factors which panel believes would logically affect results of job analysis.

ORAL INTERVIEW QUESTION PREPARATION FORM

State law requires that civil service examinations be confidential and impartial. We ask you assume a personal responsibility to maintain the competitive aspects and confidential nature of this examination. **Do not reveal that you are preparing test questions and do not retain copies of questions.** The questions must be in your own handwriting or **you** can type the questions on a typewriter or personal computer and insure that they are secure. You will be held responsible for breach of confidentiality should any questions be accessed by persons other than yourself. You will also need to complete and sign Form 100-566 or Form 100-566-A, "Security Information for Examination Consultants".

NOTE: You may make multiple copies of the following page, or attach any additional paper for more writing space.

INTERVIEW QUESTION CHECK LIST

A Good Interview Question or Problem:

1. Can be directly linked to one or more of the **Critical Class Requirements** as specified on the examination bulletin and Form 511B (CCRs).

2. Reflects a work activity (work behavior) area and associate knowledge of skill important for adequate performance at entry into the classification for which the examination is being administered.

3. Discriminates between the **better and the less well-qualified** competitors.

4. Requires the competitor to present solutions to problems or questions rather than recite technical information that can be memorized.

5. Is realistic and practical.

6. Is neither too easy nor too hard.

7. Is a complete expression of the problem.

8. Avoid excessive verbiage, ambiguities, and negatives which tend to obscure the point.

9. Is clearly understood when stated to the competitor.

The Responses to a Good Interview Questions:

1. Will clearly demonstrate the competitor's qualifications

2. Can be readily evaluated by all panel members according to the Critical Class Requirements.

Examination Title:	**Automotive Equipment Operator I**
Consultant's Name	**Edward Salinas**
Consultant's Classification	**Chief of Plant Operations III (A)**
Organizational Unit	**Coalinga State Hosptial**

TEST CONSULTANT'S ITEM FORM: INTERVIEW QUESTIONS

THE CRITICAL CLASS REQUIREMENTS (KNOWLEDGE, SKILLS, AND ABILITIES; K1, A1, etc.) WHICH ARE
SAMPLED BY THIS QUESTION INCLUDE:

_____

_____

_____

_____

_____

INTERVIEW QUESTION OR PROBLEM:

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

SUGGESTED COMPONENTS OF A COMPLETE RESPONSE:

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

From: Donna Corkill
To: Marilyn Chenault
Date: 1/30/2007 1:30:04 PM
Subject: Re: Correctional Case Records Supervisor

I did not receive the request for questions. That would have been Ronda. I will reschedule my exam and try to follow up on the request. Thanks for your help

>>> Marilyn Chenault 01/30/07 1:20 PM >>>
Hi Donna,

The last note that Hua put in the folder was that she needed the questions. Hua's note was dated 1/12/07.

Do you remember developing quesitons for this exam, if not, please submit the questions to Sabrina Hocker so that she can approve your questions.

Thanks,

>>> Donna Corkill 1/30/2007 1:11 PM >>>
It is 6MJ07

>>> Marilyn Chenault 01/30/07 1:12 PM >>>
Hi Donna,

What is the exam code for this exam?

Thanks,

>>> Donna Corkill 1/30/2007 1:02 PM >>>
I'm so sorry I misinformed you. I have the supervisor questions not the analyst. It is one of those day. Are those available? Thanks, Donna

>>> Marilyn Chenault 01/30/07 1:03 PM >>>
Hi Donna,

I sent these questions to CSh on 1/18/07. Did you ask Ronda? Attached are the questions.

Thanks,

>>> Donna Corkill 1/30/2007 12:10 PM >>>
Can you send me the questions for this exam. I have only received the Analyst questions. I have the exam scheduled for tomorrow and have been waiting for questions from Hua. I know this is dumping on you at the last minute, but I really appreciate it. Thanks,Donna

CC: Deborah Ireland

APPENDIX G: Barbershop Manager December 2010

PATTERNED QUESTIONS FOR
BARBERSHOP MANAGER
0MJ08

QUESTION #2 Continued

NOTE TO THE PANEL: COMPETITOR MAY HAVE ADDITIONAL RESPONSES,
WHICH WOULD BE EQUALLY ACCEPTABLE. THE SAME WEIGHT SHALL APPLY
AS THE ABOVE SUGGESTED RESPONSES.

RATING GUIDE

SUPERIOR (91, 94)	This competitor's response includes __20__ of the suggested or equally acceptable responses. The excellent competitor gives a clear, thorough presentation.
WELL QUALIFIED (82, 85, 88)	The competitor's response includes at least __14-19__ of the suggested or equally acceptable responses. The competitor's presentation is not as thorough as the excellent competitor's but demonstrates the level of knowledge and understanding required.
SATISFACTORY (70, 73, 76, 79)	This competitor's response includes at least __13__ of the suggested or equally acceptable responses. The competitor's response is general and lacks detail.
NOT READY (65)	The competitor's response includes __12 or fewer__ of the suggested or equally acceptable responses. The competitor gives incorrect responses and/or is unable to grasp the concept of the question.

CRITICAL CLASS REQUIREMENTS
Knowledge of: K1.
Ability to: A2, A5.

APPENDIX H: Examination Methodology

EXAMINATION METHODOLOGY

Previous Examination Review

- Review historical examination information (e.g., how test was conducted, subsequent notes from SMEs and Examination Unit Staff, and recommended changes to the examination plan)
- Review job analysis

Secure Subject Matter Experts

- Request SMEs that are knowledgeable of the classification being tested and who represent different geographic work locations and areas of responsibility
- Determine the best method of testing

Typical Format of QAP SME Meetings

- Have Subject Matter Experts (SMEs) sign confidentiality agreement (security form)
- Provide explanation of job analysis process
- Review the KSAs identified on the job analysis
- Instruct SMEs to develop questions that pertain to the job and can be linked back to the KSAs on the job analysis
- Discuss interview dates
- Review instructions for developing QAP questions, Instructions for Developing Patterned Questions, Test Consultant's Item Form, and Security Information for Consultants (see attached documents)
- Instruct the SME on the number of questions required
- Discuss rating criteria
- Review the due date for completion of questions if not completed the day(s) of the meeting(s)
- Determine if follow up meeting is necessary
- Final review of questions
- Schedule future examination development meeting(s) if necessary

Other Examination Components

- Determine the examination component to be used, if other than QAP
- If examination component has been used in past examinations, review the test component with the SMEs and make any modifications to the examination and/or rating guidelines
- If examination component has not been used, work with SMEs to develop the testing method
- Link the testing method to the KSA on the job analysis

APPENDIX I: Validity Verification Checklist

**Checklist for Validity Verification of
Content Validation Study
To Determine
Adequacy of Documentation***

1. **User(s), location(s) and date(s) of study**
    Dates and location(s) of the job analysis should be shown (Essential).

2. **Problem and Setting**
    An explicit definition of the purpose(s) of the study and the circumstances in which the study was conducted should be provided. A description of existing selection procedures and cutoff scores, if any, should be provided.

3. **Job Analysis - Content of the job**
    (A) A description of the method used to analyze the job should be provided (Essential).
    (B) The work behavior(s), the associated tasks, and if the behavior results in a work product, the work products should be completely described (Essential).
    (C) Measures of criticality and/or importance of this work behavior(s) and the method of determining these measures should be provided (Essential).
    (D) Where the job analysis also identified the knowledges, skills, and abilities used in work behavior(s), an operational definition for each knowledge in terms of a body of learned information and for each skill and ability in terms of observable behaviors and outcomes should be provided (Essential).
    (E) The relationship between each knowledge, skill, or ability and each work behavior as well as the method used to determine this relationship should be provided (Essential).
    (F) The work situation should be described, including the setting in which work behavior(s) are performed, and where appropriate, the manner in which knowledges, skills, or abilities are used, and the complexity and difficulty of the knowledge, skill, or ability as used in the work behavior(s).

4. **Selection procedure and its content**
    (A) Selection procedures, including those constructed by or for the user, specific training requirements, composites of selection procedures, and any other procedure supported by content validity should be completely and explicitly described or attached (Essential).
    (B) If commercially available selection procedures are used, they should be described by title, form and publisher (Essential).
    (C) The behaviors measured or sampled by the selection procedure should be explicitly described (Essential).

(D) Where the selection procedure purports to measure a knowledge, skill, or ability, evidence that the selection procedures and is a representative sample of the knowledge, skill, or ability should be provided (Essential).

(E) A requirement for or evaluation of specific prior training or experience based on content validity, including a specification of level or amount of training or experience should be justified on the basis of the relationship between the content of the training or experience and the content of the job for which the training or experience is to be required or evaluated. The critical consideration is the resemblance between the specific behaviors, products, knowledges, skills, or abilities required on the job, whether or not there is close resemblance between the experience or training as a whole and the job as a whole.

5. **Relationship Between the Selection Procedure and the Job**

(A) The evidence demonstrating that the selection procedure is a representative work sample, a representative sample of the work behavior(s), or a representative sample of a knowledge, skill, or ability as used as a part of a work behavior and necessary for that behavior should be provided (Essential).

(B) The user should identify the work behavior(s) which each item or part of the selection process is intended to sample or measure (Essential).

(C) Where the selection procedure purports to sample a work behavior or to provide a sample of a work product, a comparison should be provided of the manner, setting, and the level of complexity of the selection procedure with those of the work situation (Essential).

(D) If any steps were taken to reduce adverse impact on a race, sex, or ethnic group in the context of the procedure or in its administration, these steps should be described.

(E) Establishment of time limits, if any, and how these limits are related to the speed with which duties must be performed on the job, should be explained.

(F) Measures of central tendency (e.g., means) and measures of dispersion (e.g., standard deviations) and estimates of reliability should be reported for all selection procedures if available. Such reports should be made for relevant race, sex, and ethnic subgroups, at least on a statistically reliable sample basis.

6. **Alternative Procedures Investigated**

(A) The alternative selection procedures investigated and available evidence of their impact should be identified (Essential).

(B) The scope, method, and findings of the investigation, and the conclusions reached in light of the findings, should be fully described (Essential).

7. **Users and Applications**

(A) The methods considered for use of the selection procedure (e.g., as a screening device with cutoff score, for grouping or ranking, or combined

with other procedures in a battery) and available evidence of their impact should be described (Essential).

(B) This description should include rationale for choosing the method for operational use, and the evidence of the validity and utility of the procedure as it is to be used (Essential).

(C) The purpose for which the procedure is to be used (e.g., hiring, transfer, promotion) should be described (Essential).

(D) If the selection procedure is used with a cutoff score, the user should describe the way in which normal expectations of proficiency within the work force were determined and the way in which the cutoff score was determined (Essential).

(E) In addition, if the selection procedure is to be used for ranking, the user should specify the evidence showing that a higher score on the selection procedure is likely to result in better job performance.

8. **Contact Person**
The name, mailing address, and telephone number of the person who may be contacted for further information about the validity study should be provided (Essential).

9. **Accuracy and Completeness**
The report should describe the steps taken to assure the accuracy and completeness of the collection, analysis, and report of data and results.

* Uniform Guidelines on Employee Selection Procedures (8/25/78) Requirements for Documentation of Content Validity

Documents to Possess

↓ Job analysis questionnaire, interview form
↓ Job analysis results
- List of essential tasks
- List of essential KSAPCs
- Working condition data
- Other characteristics – personality, temperament, motivation
- Education/Training requirements
- Task/KSA linkage

↓ Readability analysis
↓ SME & management participants
↓ Pass point setting methodology & related documentation (MAC forms)
↓ Validation Report
↓ Exam plan
↓ Keyed and unkeyed exam(s)
↓ Scoring methodology
↓ Item/KSA linkage
↓ Pretesting materials (results)

←Confidential

APPENDIX J: Filing Procedures

CIVIL SERVICE EXAMINATIONS

- Label the tab on the folder with the following information:

  - Class title* (exam base)
  - Final filing date
  - Contents
  - Purge date

See sample below:

Class Title:	Office Technician (Open)
FFD:	12/09/06
Contents:	Applications
Purge:	12/09/08

***Series exam: Label should show all class titles**

On the front side of the folder, attach the appropriate folder label indicating the contents.

See sample below.

Class Title:	Office Technician (Open)
FFD:	12/09/06
Contents:	Applications
Purge:	12/09/08

Exam History
- **Exam Control**
- **Bulletin**
- **511B**

Series exam: Combine contents where appropriate

These folders should be filed in an expandable hanging folder (one expandable hanging folder per examination). The expandable hanging folder will have a plastic tab and label containing the same information as the file tab.

ALL EXAM FOLDERS WILL HAVE A HISTORY AND APPLICATION FILE

The remaining folders will be dependent on the type of exam plan you have. Please note that not every exam will have all of the items listed under each type of folder. Check off the items that are applicable to your exam on the label. If an exam is very small, all items can be combined in one folder; however, all pertinent labels identifying the contents should be affixed to the front of the folder.

IDENTIFYING CIVIL SERVICE EXAMINATION MATERIAL

The following is a list of the various exam folders you will need to create.

Exam Folders (Regular Civil Service Exams)

EXAM HISTORY FOLDER – REGULAR CIVIL SERVICE (FOLDER #1)
- ☐ Original of COMPLETED Exam Control printout
- ☐ Bulletin & Riders
- ☐ Salary Verification
- ☐ Exam Bulletin Distribution Form
- ☐ 511B
- ☐ Class Specification
- ☐ Exam Assessment
- ☐ Original of Information List
- ☐ Original of Bottom Line Hiring Report
- ☐ Scoring Update Report RW (for each exam phase)
- ☐ Scoring Results list for Each Exam Phase (S1 & S4)
- ☐ Final Results List (S8)
- ☐ Veteran's/Career Credits List
- ☐ Completed Exam/Test Appeals Report
- ☐ PURGE DATE (*Keep five years or one administration, whichever is <u>longer</u>*)

APPLICATIONS FOLDER – REG. CIVIL SVC (FOLDER #2)
- ☐ Applications – Accepted
  - ☐ Applications
  - ☐ List of Competitors
- ☐ Applications – Rejected
  - ☐ Applications
  - ☐ List of Rejects
- ☐ PURGE DATE (*Keep at least two years in case of an appeal*)

Separate folders should be set up for accepted, rejected and DQ/DNA's/Withdraws/Applications, unless the exam is small and the applications can fit in one folder.

The applications should be filed as follows:
- o In alphabetical order clipped together by group (e.g., accepted, rejected).
- o Applications should be detailed (MQ'd) and correctly coded (or scored if T&E).
- o Copy of the on-line exam report attached to the front of applications (e.g., P1, S2).

NOTE: If an applicant requested Reasonable Accommodation and completed a Disability Questionnaire (SPB-351), <u>do not</u> store this form in the exam file. These forms must be set up in a separate medical file.

QAP MATERIAL (FOLDER #3)
☐ Interview Rating Sheets
☐ Tape Logs
☐ Interview Schedule
☐ Master Alpha listing of candidates
☐ Scoring Conversion Forms
☐ DQ Sheets
☐ Panel Orientation/Test Information
☐ Panel Information for Candidates
☐ Panel Orientation Information
☐ Confidentiality Statements from Candidates
☐ Chairperson/SSR Evaluations
☐ Chairperson Report (SPB 295A)
☐ PURGE DATE *(Keep as long as the life of the list plus one year or until a new exam is administered. If there are appeals, keep files until one year after SPB decision is made)*

CORRESPONDENCE (FOLDER #4)
☐ Correspondence/e-mails to/from SPB
☐ Copies of letters sent to applicants other than the computer generated notices
☐ Written protests/resolutions
☐ Any miscellaneous written correspondence
☐ Address changes completed by applicants
☐ Location Preference Forms (631) completed by applicants
☐ PURGE DATE *(Keep as long as the life of the list plus one year or until a new exam is administered. If there are appeals, keep files until one year after SPB decision is made)*

PERFORMANCE INFORMATION (FOLDER #5)
☐ Exam Review
☐ Exam Instructions
☐ Rating Sheets
☐ Item Analysis
☐ Candidate Sign-in Sheets
☐ Candidate Confidentiality Statements
☐ Tape Log
☐ Rating Sheets
☐ Performance Notes
☐ PURGE DATE *(Keep until next administration of exam)*

WRITTEN TEST INFORMATION (FOLDER #6)
☐ SPB Test Material (green)
☐ Exam Front cover sheet w/written pattern code information
☐ Confidentiality statements (candidates)
☐ Notice to appear (candidates)
☐ Check in List (used at test site to check in candidates)
☐ PURGE DATE *(Keep until next administration of exam)*

T&E INFORMATION (FOLDER #7)
☐ T&E Rating Criteria (signed & dated)
☐ Security Form signed by SME who assisted with app review
☐ PURGE DATE *(Keep until next administration of exam)*

CEA EXAMINATIONS

When preparing exam folders use 1/3-cut letter size manila folders (the folder should be new or in good shape.).

- Label the tab on the folder with the following information:

  - CEA/CMA/CSA
  - Office/Branch
  - Final Filing Date
  - Working Title of the Position

See sample below:

CEA IV   EIT   FFD: 7/1/01 **CIO** **Sacramento**

On the front side of the folder, attach the appropriate folder label indicating the contents.

See sample below.

	CEA IV EIT FFD: 7/1/01 **CIO** **Sacramento**
Exam History - **Bulletin** - **KPD** - **etc.**	

These folders should be filed in an expandable hanging folder (one expandable hanging folder per examination). The expandable hanging folder will have a plastic tab and label containing the same information as the file tab.

ALL EXAM FOLDERS WILL HAVE A HISTORY AND APPLICATION FILE

The remaining folders will be dependent on the type of exam plan you have. Please note that not every exam will have all of the items listed under each type of folder. Check off the items that are applicable to your exam on the label. If an exam is very small, all items can be combined in one folder; however, all pertinent labels identifying the contents should be affixed to the front of the folder.

IDENTIFYING CEA EXAMINATION MATERIAL

The following is a list of the various exam folders you will need to create:

Exam Folders (CEA)

EXAM HISTORY – (CEA) (FOLDER #1)
- ☐ Bulletin (and Riders, if applicable)
- ☐ Salary Verification
- ☐ Exam Bulletin Distribution Form(s)
- ☐ VPOS Form
- ☐ Key Position Description
- ☐ Duty Statement
- ☐ Exam Assessment
- ☐ Original of Eligible List

APPLICATIONS – (CEA) (FOLDER #2)
- ☐ Applications – Accepted
  - ☐ Applications
  - ☐ List of Competitors
- ☐ Applications – Rejected
  - ☐ Applications
  - ☐ List of Rejects
- ☐ Attach Each Candidates letter (Results, Thank You for Applying) to front of application

A set of separate folders should be set up for accepted and rejected applications, unless the exam is small and all the applications can fit in one folder.

The applications should be filed as follows:

- In alphabetical order clipped together by group (i.e. accepted, rejected etc.)
- Applications should be detailed (MQ'd).
- Copy of each candidate's letter (e.g., Final Results, Thank You for Applying) to the front of the application.

NOTE: If an applicant requested Reasonable Accommodation and completed a Disability Questionnaire (SPB-351), <u>do not</u> store this form in the exam file. These forms must be set up in a separate medical file.

APPLICATION REVIEW (FOLDER #3)
☐ Application Screening Rating Sheets (Check-off type)
☐ Application Review Rating Criteria Forms (Scored)
    ☐ Scoring Summary (Rating Sheet)
    ☐ Scoring Conversion Forms
    ☐ Signed Consultant Security Form (green) - if no QAP

CORRESPONDENCE (CEA) (FOLDER #4)
☐ Correspondence/e-mails to/from SPB
☐ Copies of letters sent to applicants other than results or thank-you for applying letters
☐ Written protests/resolutions
☐ Any miscellaneous written correspondence

QAP MATERIAL- (CEA) (FOLDER #5)
☐ Scoring Summary Sheet (QAP Rating Sheet)
☐ Interview Schedule (CEA/CMA/CSA)
☐ Scoring Conversion Forms
☐ Panel Information for Candidates (list of who is on the panel)
☐ Panel Orientation Information
☐ Confidentiality Statements from Candidates
☐ Chairperson/SSR Evaluations
☐ Chairperson Report (SPB 295A)
☐ PURGE DATE *(Per SPB Rule 548.40, all CEA exam files must be maintained for 3 years)*

PREPARING EXAMINATION KEY FOLDERS

All confidential test material must be filed in Key folders.

Use the following guidelines:

- Use 9x12 size envelopes
- Use standard size mailing label
- Label the envelope in the upper right hand with the following information:
    - Class Title
    - Type of Test Material (i.e. interview questions, written exercise)
    - Test Dates
    - Final Filing Date (the final filing date will allow us to tie the test material to the history file).

See sample below:

Staff Services Manager I **Interview Questions** **09/28/04 – 09/30/04** **FFD: 08/01/04**

IDENTIFYING KEY FOLDER MATERIAL

The following is a list of the various types of exams and the items that belong in the key folders. There is no need to duplicate items from the Exam Folders for the Key Folders and vice versa.

Written Tests
- Key copy of test booklet (answers marked)
- Master of test booklet (for copying)
- Answer sheet key (card stock with holes punched)
- Answer sheet (answers marked with red pen)
- Item Analysis
- Raw Score Tab
- Copy of cover of test booklet
- Consultant Item forms
- Signed consultant security forms (green)
- Proctor's Instructions
- Proctor's report(s)
- Study Guide
- PURGE DATE: Keep indefinitely

Interview Questions (QAP)
- Original and one copy of questions
- Master of package given to candidates (prep or other)
- Signed consultant security forms (green)
- PURGE DATE: Keep indefinitely

Performance Test
- Master of performance test
- Scoring criteria/rating scale
- Proctor's Instructions
- Master of candidate scoring sheet
- Signed consultant security forms (green)
- **PURGE DATE: Keep indefinitely**

T&E EXAM INFORMATION
- Master of T&E exam package
- Scoring criteria/guides
- Signed consultant security forms (green)
- **PURGE DATE: Keep indefinitely**

MAINTAINING ADDITIONAL EXAMINATION MATERIAL

<u>Extra Test Booklets</u>:
- Store booklets in boxes
- Label boxes with class title and contents
- Put note in Key folder regarding location of extra test booklets
- Save until test booklet is revised

<u>Candidate Test Material</u>
Candidate test material such as answer sheets, plans or schematic drawings, structured interview packages, supplemental applications should be filed as follows:

- Place exam material in envelope
- Label upper right hand corner of envelope.
  - Class title
  - Test date
  - Contents
  - Purge date

<u>Panel Member Notes/Packages:</u>
- Place examination material in envelope
- Label upper right hand corner of envelope
  - Class title
  - Interview date(s)
  - Contents
- ***PURGE DATE***: **Keep as long as the life of the list plus one year or until a new exam is administered. If there are appeals, keep files until one year after SPB decision is made.**

<u>Interview Tapes</u>
- Label tapes
  - Class title
  - Interview date
  - Candidate's name
- File in numerical order
- Band tapes together
- ***PURGE DATE**:** **Two years after list date**

After purge date, erase and discard unless an appeal is in progress. Tapes may be reused one time only.

CLOSING EXAMINATION FILES

Exam files should be completed and filed **within 30 days** after the exam is completed.